

# SEMP COMPLIANCE QUESTIONNAIRE

## Element 4: Management of Change

Date: \_\_\_\_\_

Organization Name: \_\_\_\_\_ Facility Name: \_\_\_\_\_

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	B	<p>Does the management program require written procedures to identify and control hazards associated with change and maintain the accuracy of safety information?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"><li>1. Copy of management endorsed plan requiring procedures.</li><li>2. Employee interviews showing awareness of the plan.</li><li>3. Completed MOC document addressing safety information.</li></ol>		RP 75, 4.1	

Question Codes: F -- Facility Related; P -- Program Related; B -- Facility and Program Related.  
Finding Codes: C -- Conforming; N -- Non-conforming; NA -- Not Applicable.

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
2	B	<p>Does the management program require a Management of Change (MOC) for changes in produced fluids, process additives, product specifications, by-products, waste products, design inventories, instrumentation and control systems, or material of construction?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Written plan describing cited requirements.</li> <li>2. Employee awareness of the plan requirements for these types of changes.</li> <li>3. MOC document addressing changes in facilities.</li> </ol>		RP 75, 4.2	
3	B	<p>What personnel are specified in the management program as authorized to initiate a MOC?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Documentation specifying who should/may initiate a MOC.</li> <li>2. Employee awareness of program requirements.</li> </ol>		RP 75, 4.2	

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4	B	<p>Does the MOC process plan address</p> <ul style="list-style-type: none"> <li>a. permanent changes,</li> <li>b. temporary changes, including duration of the change,</li> <li>c. emergency changes,</li> <li>d. personnel changes?</li> </ul> <p><b>Example Expectations:</b></p> <ul style="list-style-type: none"> <li>1. Written plan describing the covered changes.</li> <li>2. Employee awareness of changes covered by the MOC process.</li> <li>3. Records of temporary changes addressing duration.</li> </ul>		RP 75, 4.2, 4.2.l, 4.3, 4.4 f	
5	B	<p>Does the management program require a review of the effects of newly acquired or sold facilities on the organization or facilities?</p> <p><b>Example Expectations:</b></p> <ul style="list-style-type: none"> <li>1. Written plan describing cited requirements.</li> <li>2. Interviews with responsible staff showing awareness of these requirements.</li> <li>3. MOC documents addressing changes in facilities.</li> </ul>		RP 75, 4.3	

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6	B	<p>Does the management program require written procedures to ensure all steps of the MOC procedure are managed?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Written plan describing the procedures.</li> <li>2. Employee awareness of the steps in the process.</li> <li>3. MOC document showing that the procedures have been followed.</li> </ol>		RP 75, 4.4	
7	B	<p>Does the management program address appropriate consultation as part of the written procedures?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Written plan describing requirements.</li> <li>2. MOC documents showing the process in progress and/or completed.</li> </ol>		RP 75, 4.4.a, 4.4.b	
8	B	<p>Is a process in place to ensure that follow-up items (e.g. drawing updates, procedure changes, emergency plan updates, etc.) are completed?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Written plan describing requirements.</li> <li>2. Employee awareness of process requirements for follow-up actions.</li> <li>3. MOC reports showing completion of follow-up items.</li> </ol>		RP 75, 4.4.c, 4.4.e	

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
9	B	<p>Is a process in place to ensure all personnel affected by the change are notified/trained prior to implementing the change?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Written plan describing requirements.</li> <li>2. Interviews with affected employees citing training or notification associated with the change.</li> <li>3. MOC reports showing how notification occurred.</li> </ol>		RP 75, 4.4.d	
10	B	<p>Does the plan specify who must review and approve the MOC to effect the change?</p> <p><b>Example Expectations:</b></p> <ol style="list-style-type: none"> <li>1. Written plan describing requirements.</li> <li>2. MOC documents showing the review and approval process for change.</li> </ol>		RP 75, 4.4.g	

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